



BROAD AGENCY ANNOUNCEMENT (BAA) FOR RESEARCH INITIATIVES AT THE NAVAL POSTGRADUATE SCHOOL

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Introduction

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and the Department of Defense Grants and Agreements (DODGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Naval Postgraduate School (NPS) nor the Contracting Office of the Naval Supply Systems Fleet Logistics Center San Diego (NAVSUP FLC SD) will issue paper copies of this announcement. Interested parties are responsible for checking www.grants.gov or <http://www.nps.edu/Research/WorkingWithNPS.html> for possible amendments to this BAA.

The Naval Postgraduate School (NPS) reserves the right to select and fund for award all, some, or none of the proposals in response to this announcement. NPS provides no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of NPS and NAVSUP FLC San Diego to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation. Potential grantees are on notice, however, that Government may use

contractor support personnel, with appropriate non-disclosure agreements on file, to assist in -the review of technical submissions.

I. PROGRAM DESCRIPTION:

- 1. Requiring Agency:** Naval Postgraduate School
- 2. Research Opportunity Title:** Research Initiatives at the Naval Postgraduate School
- 3. Program Name:** Not Applicable (N/A)
- 4. Research Opportunity Number:** NPS-BAA-15-003
- 5. Response Date:** This announcement will remain open until 4:00 p.m. **Pacific Daylight Time (PDT), 31 August 2016** or until replaced by a successor BAA. Proposals may be submitted at any time during this period. This announcement replaces NPS-BAA-14-004.
- 6. Amendments:** Amendments to this BAA will be posted to one or more of the following webpages:
 - Grants.gov <http://www.grants.gov>
 - NPS Broad Agency Announcements (BAAs) <http://www.nps.edu/research/workingwithnps.html>

7. Research Opportunity Description:

The Naval Postgraduate School (NPS) is interested in receiving proposals for research initiatives that offer potential for advancement and improvement in the NPS core mission of graduate education and research. Readers should note that this is an announcement to declare NPS's solicitation in competitive funding of meritorious research initiatives across a spectrum of science and engineering, business, politics and public/foreign policy, operational and information sciences, and interdisciplinary disciplines that are in line with the NPS' graduate education and research mission.

Additional information on the Naval Postgraduate School's graduate education and research mission is available at:

General Information: <http://www.nps.edu/About/index.html>
NPS Strategic Plan: <http://www.nps.edu/About/NPSStratPlan.html>
Academic Programs: <http://www.nps.edu/Academics/index.html>
Research Programs: <http://www.nps.edu/Research/index.html>

Prior to preparing proposals, potential Offerors are strongly encouraged to contact an NPS point of contact (POC) whose program and research efforts best match the Offeror's field of interest. The academic and research programs links above can be used to locate an appropriate POC by exploring the information provided about the faculty members in NPS' schools, research institutes, and interdisciplinary centers and research groups.

8. Points of Contact:

Any questions regarding this announcement must be provided to the points of contact listed below. All questions shall be submitted in writing by email. The specific points of contact for this announcement are listed below:

Questions of a **technical** nature should be submitted to the NPS faculty POC whose program and research interests best match the Offeror's field of interest. See section [1.7](#) above.

Questions of a **general** nature can be directed to:

Ms. Teri Jay
Grant Management Specialist
Research and Sponsored Programs Office
Office of the Dean of Research
Naval Postgraduate School
Email: baa@nps.edu or research@nps.edu

Questions of a **business** nature shall be directed to:

Ms. Janet Norton
Contract and Grant Officer
NAVSUP Fleet Logistics Center
San Diego
Email: janet.norton@navy.mil

or

Ms. Teri Jay
Grant Management Specialist
Research and Sponsored Programs Office
Office of the Dean of Research
Naval Postgraduate School
Email: baa@nps.edu

Questions or assistance needed regarding **Grants.gov's** registration process, system requirements or submittal process shall be directed to:

Grants.gov
Phone: 1-800-518-4726
Email: support@grants.gov

**** Important Notice Regarding Questions of a Business Nature****

All questions shall be submitted in writing by electronic mail.

Questions submitted via a telephone call, fax message, or other means will not be provided a response.

9. Instrument Type(s):

Awards under this BAA may take the form of grants or cooperative agreements as appropriate. Contracts will not be awarded as a result of this BAA.

Offerors should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. The following is a brief description of the possible award instruments:

Grant – A legal instrument, consistent with 31 U.S.C. 6304, is used to enter into a relationship where:

- (1) The principal purpose is to transfer something of value to the award recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Department of Defense's direct benefit or use.
- (2) Substantial involvement is not appropriate between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.
- (3) No fee or profit is allowed.

Grants are distinguished from contracts in that grants provide financial assistance to recipients to conduct fairly autonomous programs of research. With grants, the award recipients bear prime responsibility for the design, management, direction, and conduct of research and exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the resources provided. Although grants supported by the Department of Defense (DOD) must be of general interest to and must in some way have the potential to further DOD mission(s), they must only tangentially relate to those missions. For direct support or to meet specific DOD and NPS goals and objectives, or to improve specific defense processes, procedures, systems or policies, a contract would be the appropriate instrument.

Grant proposals must also clearly define the public benefit that is anticipated to result from broad dissemination of the research results to scientific and professional communities, the private sector, civil society, non-Federal government, and/or foreign governments. *Proposals should **not** focus on potential benefits to the DOD, although these should be mentioned briefly in the White Paper's technical concept section and the Full Proposal's Statement of Work.*

Cooperative Agreement – A legal instrument, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition "grant") except that substantial involvement is expected between the DOD and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

Contract – A legal instrument, consistent with 31 U.S.C. 6303, reflects a relationship between the Federal Government and a State, a local government, or other recipient when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government. Contracts will not be awarded under this BAA.

NOTE: Grants and Cooperative Agreements DO NOT include the delivery of software, prototypes, and hardware deliverables; their primary deliverable is a report of the research findings.

NOTE: Grants and cooperative agreements must be in compliance with the Department of Defense Grant and Agreement Regulations and 2 §CFR 200 – Uniform Guidance.

10. Catalog of Federal Domestic Assistance (CFDA) Numbers: 12.300.

11. Catalog of Federal Domestic Assistance (CFDA) Titles: Department of Defense (DOD) Basic and Applied Scientific Research.

12. Other Information:

Work funded under a BAA may include basic research, applied research and some advanced research. With regard to any restrictions on the conduct or outcome of work funded under this BAA, NPS will follow the guidance on and definition of “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of “contracted fundamental research,” in a DOD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DOD policy, research performed under grants and contracts that is a) funded by Budget Activity 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 6.3 (Advanced Research) does not meet the definition of “contracted fundamental research.”

In conformance with the USD (AT&L) guidance and National Security Decision Direction 189, NPS will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research performed by the prime contractor (grantee) is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the **prime contractor’s (grantee’s) responsibility** in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor (grantee) and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DOD pre-publication review of such research results due to subject matter sensitivity. Potential Offerors should consult with the appropriate NPS Technical POCs to determine whether the proposed effort would constitute basic research, applied research or advanced research.

FAR Part 35 restricts the use of Broad Agency Announcements (BAAs), such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement.

Grants and other assistance agreements made under BAAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

Organizational Conflict of Interest – All prospective grantees for this BAA are on actual notice that the Department of Defense and the Department of the Navy (collectively referred to as “Grantor”) rely on third-party contractor support. Consultant contractor employees, with appropriate non-disclosure agreements and organizational conflicts of interest clauses in their respective contracts with the Grantor, may be reviewing grant proposals for administrative purposes and may be involved in Grant administration for the life of any awarded grant. If you have any questions or concerns, please contact a Business POC identified in Section I.8 above before submitting your proposal.

THE PRIMARY PURPOSE OF THIS ANNOUNCEMENT IS TO STIMULATE AND SUPPORT RESEARCH GRANTS AND COOPERATIVE AGREEMENTS. IT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING, AND OTHER TYPES OF SUPPORT SERVICES.

II. AWARD INFORMATION:

1. Amount and Period of Performance:

The amount and period of performance of each selected proposal will vary depending on the research area and the technical approach pursued by the selected Offeror.

2. Type of Awards:

The Government anticipates the award of grants and cooperative agreements under this BAA. No contracts will be awarded under this BAA.

III. ELIGIBILITY INFORMATION:

1. All responsible sources from U.S. academia, U.S. research institutions, U.S. laboratories outside the Federal Government, U.S. industry, and accredited foreign universities may submit proposals under this BAA.

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. U.S. Government schools of higher education, Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in research described herein, the organization should contact baa@nps.edu.

University Affiliated Research Centers (UARC) are eligible to submit proposals under this BAA unless precluded from doing so by their Department of Defense UARC contract.

Some topic areas may cover export-controlled technologies. Research in these areas is limited to "U.S. persons" as defined in the International Traffic in Arms Regulations (ITAR) -22 CFR §120.1 et seq.

There is no limit to the number of proposals an institution can submit to this BAA.

2. Cost sharing or matching is not required.

3. Individuals are not eligible to apply.

IV. APPLICATION AND SUBMISSION INFORMATION:

1. Address to Request Announcement Package:

This announcement may be accessed from the internet at the Grants.gov website (<http://www.grants.gov> or <http://www.nps.edu/Research/WorkingWithNPS.html>). If internet access is not available, contact the Business POC listed in section I. General Information, 8. Points of Contact.

Offerors are encouraged to submit a white paper in advance of a full proposal to minimize the labor and other costs associated with the production of detailed full proposals that have little chance of being selected for funding. White papers and full proposals shall follow the format described under the proposal preparation sections below.

All proposals should describe how the research will advance knowledge in the field of study, enhance understanding, and have the potential to provide a direct benefit to the public.

A **grant** can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose and the research is independently conducted.

A **cooperative agreement** can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose and there is substantial, collaborative involvement with the Government.

Titles given to the white papers and full proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

White papers and full proposals submitted under this BAA are expected to be unclassified. The research proposed is also expected to be unclassified.

All Proposal submissions will be protected from unauthorized disclosure in accordance with FAR 15.207, applicable law, and DOD/DON regulations. Support contractors may have access to technical submissions for validation and technical review only. DOD and DON will ensure that any such support contractor will have adequate organizational conflict of interest clauses in their respective support contracts and will obtain copies of any relevant non-disclosure agreements by and between the contractor and its employees.

2. White Paper Submission: Contents and Format of Applications

A. White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages – No more than five (5) single-sided pages (excluding cover page, abstract, and resumes/curriculum vitae/bios). White papers exceeding the page limit might not be evaluated.
- Only Microsoft Word or Adobe PDF file format

B. White Paper Content

- **Cover Page** – The Cover Page shall be labeled “WHITE PAPER,” and include:
 - BAA number NPS-BAA-15-003
 - Proposed project title, descriptive of the topic or question being researched
 - Proposed length of project in months
 - Offeror’s administrative point of contact with title, telephone number(s), facsimile number, and Email address listed

- Offeror's technical point of contact (Principal Investigator) with title, telephone number(s), facsimile number, and email address listed
- Signature of an authorized officer of the Offeror institution
- **Project Abstract** – Concise, single-spaced abstract of no more than 200 words, summarizing the proposed research effort, including the name of the Offeror institution, anticipated public benefit, type of substantial involvement by the Government (if cooperative agreement is proposed), objectives, assessed need, and anticipated impact and results.
- **Technical Concept** – This brief project description should include:
 - Research objective, including the problem the proposed research will address
 - Assessed need and importance
 - Summary of key background research to inform the proposed project
 - Research design/methodology
 - Anticipated results
 - Anticipated public benefits beyond the needs of the Departments of Defense or Navy:
 - For example, the results of drone research can be used by the agricultural, marketing, resource management, and public safety sectors of society to provide better goods and services to the public.
 - Please contact the NPS Technical POC (TPOC) if you are unsure what is meant by public benefit or purpose.
 - Sample of references from the scientific literature used to inform the study
 - Names and titles of all investigators and key personnel, including any doctoral students, if known
 - General schedule of activities
 - Rough cost estimate (total only)

C. White Paper Submission

Only submissions made via email will be considered. The white paper shall be sent as an email attachment directly to the cognizant NPS TPOC with a copy to baa@nps.edu. The email's subject line shall read, "NPS-BAA-15-003 White Paper Submission." If the Offeror has not identified a NPS TPOC, send the white paper to both research@nps.edu and baa@nps.edu.

3. Grants.gov Full Proposal Submission: Content and Format of Applications

Full proposals must be submitted electronically at <http://www.grants.gov> using the application template package associated with this BAA. Detailed format and content instructions follow. Assume that performance will start no earlier than six (6) months after you are notified your Full Proposal has been recommended for award.

A. Full Proposal Format – Technical and Cost Proposals

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point

- Number of Pages:
 - The **technical proposal** is limited to no more than 40 single-sided pages, including cover page, table of contents, project abstract, statement of work, and indexes, foldouts, photographs, and appendices.
 - The **cost proposal** is limited to no more than 10 pages, excluding supporting documentation attached separately as a PDF on the Grants.gov application website.
 - Bios, CVs, and resumes are attached together as one Adobe PDF document in Grants.gov and do not count toward the total page count of the technical proposal. Each bio, CV or resume should be no more than three (3) pages in length.

B. Full Proposal Content – Technical Proposal

- **Cover Page:** This should include the words “TECHNICAL PROPOSAL” at the top and the following:
 - BAA number NPS- BAA-15-003
 - Descriptive title of the proposed research
 - Identity of prime Offeror institution and complete list of subcontractors or subgrantees, if applicable and known at time of application
 - Technical contact (name, title, address, phone, fax, email address)
 - Administrative/business contact (name, address, title, phone/fax, email address)
 - Proposed duration of effort in the format: “# months from time of award.” Differentiate basic effort and any proposed option periods.
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

Project Abstract - The project abstract must be appropriate for public release and describes in terms the public may understand the project or program supported. The project abstract should be a single page that identifies the research problem, technical approaches, anticipated outcome of the research, summarizing the proposed research effort. It should identify the Principal Investigator including the name of the Offeror institution, anticipated public benefit, type of substantial involvement by the Government (if cooperative agreement is proposed), objectives, assessed need, and anticipated impact and results.

The project abstract should be concise, single-spaced abstract (not to exceed one page) using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font Times New Roman, 12 point. To attach a Project Abstract, click "Add Attachment" to the GRANTS.GOV "Project Abstract" mandatory form.

- **Statement of Work (SOW):** A research description clearly detailing the scope and objectives of the effort and the technical approach. The proposed SOW may be incorporated as an attachment to the resultant award instrument. Thus, full proposals must include a severable, stand-alone SOW without any proprietary restrictions or controlled unclassified information, which can be attached to the agreement award.

A major portion of the proposal should consist of a clear description of the proposed technical approach. This discussion should provide the technical foundation/justification for pursuing this particular approach and why one would expect it to enable the research objectives of the proposal. Within the technical approach, include a detailed list of the research tasks/subtasks organized chronologically.

If the SOW is proposing a conference, symposium, workshop, or strategic dialogue as part of the research methodology, the SOW must describe the need for such a gathering and how the meeting results are expected to support the project objective. Conference expenses in federal grants are exempt from U.S. Government conference approval guidance per the OMB Memo May 2012. See page 3, footnote 5 at <http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-12.pdf>.

For Statements of Work proposing conferences, symposia, or workshops as a part of its research methodology, the SOW must include the following information:

Rationale:

- Stated objective(s) of the event, if distinct from project objectives stated in the opening paragraph of the technical proposal
- Statement of the need for such a gathering

Qualifications:

- Listing of up to three recent meetings on the same subject carried out by the Offeror, including dates and locations

Content:

- Draft agenda with potential topics and potential list of participants (if known)
- Location and probable date(s) of the meeting
- Reason(s) for event location
- Plan for recruitment of and support for speakers and other attendees, that includes participation of groups underrepresented in security studies (e.g., underrepresented minorities, women and persons with disabilities)

Management:

- Statement of how the meeting will be conducted, how the results of the meeting will be disseminated, and how the meeting will contribute to the enhancement and improvement of the scientific and/or educational activities
- Estimated total budget for the event.

Measurable Results Expected:

- Outputs – This might include progress reports, steering committee or subcommittee meetings, event programs, participant biographies, final rosters, concept paper, and conference papers
- Outcomes – expected result, effect, or consequence that will occur from carrying out the event as related to programmatic goals and objectives.

- **Project Schedule and Milestones:** A table summarizing the schedule of research and reporting activities and milestones. Because the date of award is not known at time of application, we recommend a “month 1,” “month 2,” or “quarter 1,” “quarter 2” format, as opposed to naming specific months and dates.

- **Reports:** The following are sample reports that are typically provided under grant-funded research efforts (do **not** include software, prototypes, hardware as deliverables):
 - Technical and financial progress reports, quarterly
 - Presentation materials
 - Technical and financial reports, final
- **Public Purpose:** For all types of research, include a concise statement of how the proposed research supports or stimulates a public purpose, rather than providing a specific benefit to DOD/DON. *The public benefits statement is an important part of the evaluation and award process.*
- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; responsibilities of the various personnel; subcontractor or subrecipient relationships to the project and their function (if any); Government research interfaces; and planning, scheduling and oversight practices. Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government-furnished equipment (GFE), hardware, software or information required, by version and/or configuration.
- **Offeror Qualifications:** A discussion of previous accomplishments and research by the Offeror *institution* in this or closely related areas; and a discussion of the qualifications of the proposed Principal Investigator and other key personnel. Brief curricular vitae are to be attached separately in Grants.gov.
- **Statement of Research Status:** Concise statement that identifies whether the proposed research is a follow-in effort from a prior NPS award, and if so, describes how the proposed project extends or enhances the prior effort. Identify whether applicants have received prior awards through the Naval Postgraduate School, and if so, give the status of all deliverables for those awards.
- **Current and Pending Project and Proposal Submissions:** Principal Investigators and Key Personnel are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements.

Offerors shall provide the following information of any related proposal submissions from whatever sources (e.g., NPS, Federal, state, local or foreign government agencies, public or private foundations, industrial or other commercial organizations). The following information must be provided for proposals already submitted or submitted concurrently to other possible sponsors, including NPS. Concurrent submission of a proposal to other organizations will not prejudice its review by NPS.

Include the following for any funded research projects that take or will take the Principal Investigator's time or that of any other Key Personnel, even if they receive no salary support from the project(s).

1. Title of Proposal
2. One to two (1-2) sentence summary
3. Source (sponsor) of funding
4. Total award amount
5. Contract and/or grant numbers for current contracts/grants

6. Percent effort devoted to the project; this can be the number of person-months or labor hours per year
7. Identity of prime Offeror and complete list of subcontractors, if applicable
8. Technical Point of Contact (name, address, phone/fax, email address)
9. Administrative/Business Point of Contact (name, address, phone/fax, email address)
10. Period of performance
11. How the project is related to the proposed effort and degree of overlap, if applicable.

C. Full Proposal Content – Cost Proposal

The cost proposal, which is a *narrative* explaining and justifying the budget figures in detail, must include all figures, calculations, and supporting documentation for determining cost *allowability, allocability and reasonableness*. Justifications for costs must be explicitly stated.

Two budgetary documents other than the cost proposal are required. First, the Offeror **shall** use the Grants.gov budget forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the Grants.gov application package template associated with this BAA and located at <http://www.grants.gov/>. Second, a separate Adobe PDF document shall be uploaded with the online application materials, providing appropriate verification and/or supporting documentation for each element of cost proposed.

In addition to a narrative, Offerors may elect to include as part of their cost proposal a spreadsheet showing calculations, unit price, and number of units in more detail than is possible in the required Standard Form (SF) Research and Related (R&R) Budget Form. However, inclusion of a more detailed spreadsheet is **not** a substitute for a detailed narrative that explains calculations, justifies inclusion of budget items, and states the basis for the amounts listed. Nor it is a substitute for the required Budget Form found at Grants.gov.

Costs proposed must conform to the following principles and procedures:

- Educational Institutions: 2 CFR §200 - Uniform Guidance, Subpart E
- Non-Profit Organizations: 2 CFR §200 – Uniform Guidance, Subpart E*
- Commercial Organizations: FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5 and DFARS Subsection 215.403-5.

**For those Non-Profit Organizations specifically exempt from the provisions of Appendix VII to 2 CFR §200, FAR Part 31, and DFARS part 231 shall apply.*

The cost proposal narrative must include the following:

- **Direct Labor** - Individual labor categories or persons, with associated percent of annual effort and unburdened direct labor rates by annual salary (alternatively, number of total hours and hourly rate may be provided). If proposal period crosses fiscal years, then provide escalation rates for each fiscal year period. Clearly state any escalation rates used in calculations.

Provide supporting documentation verifying individual labor rates for each known individual; this may include a recent payroll receipt for individuals or a signed statement of salary rate or hourly rate and level of appointment from the Offeror's Sponsored Programs Office or Human Resources Office. For persons yet to identified, provide general tables or schedules by labor category, which labor category will be used, and why that labor category is appropriate.

- **Administrative and Clerical Labor** - Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification, which adequately describes the major project and the administrative and/or clerical work to be performed.
- **Fringe Benefits** - The Cost Proposal narrative must include the rates and calculations of the costs for each labor category/person, the salary amounts to which they are applied, and the sum total for each labor category/person.

If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/agreement**. If the rates applied are composition rates, or the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability, and reasonableness of the allocation bases, and how the rates are calculated according to applicable 2 CFR §200 - Uniform Guidance or FAR/DFARS provisions.

- **Travel** - The proposed travel cost should include the following for *each trip*:

- o The purpose of the trip
- o Origin and destination, if known (origin is typically known; if destination is unknown, state basis for estimating travel cost)
- o Estimated duration
- o Number of travelers
- o Estimated cost per trip

The costs must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles.

Explain why travel is a necessary and/or cost-effective component of the technical approach/methodology, as well as why the travel destination was chosen, if known. Provide a copy of Offer institution's travel policy. Provide documentation for proposed airfare costs (such as internet quotes from a travel website).

If hosting a workshop or other type of meeting for which participant travel costs are requested in the budget, outline those costs here, including best estimates for origin and destination, approximate duration, number of travelers, and estimated cost per trip. If available, include a tentative agenda and roster of participants by organizational affiliation. If not available, state how many participants are anticipated from the U.S. Government and how many from outside the U.S. Government. **Funds provided cannot be used for payment to any Federal Government employee for support, subsistence, or services in connection with participation at a meeting sponsored through this award.**

- **Subawards** - Subawards (typically a grant or cooperative agreement from the Offeror to another institution, but may include a subcontract) should be utilized only when the Offeror deems them necessary for achieving the project objectives. Provide a description of the work to be performed by the subrecipient institution. For each subaward, a detailed cost proposal is required by the subrecipient and must be included in the proposal by the Offeror.

Alternatively, the proposed subawardee's or subrecipient's cost proposal can be provided via email directly to the NPS General POC at baa@nps.edu at the same time the prime proposal is submitted. The email must identify the proposal title, the prime Offeror, and that the attached proposal is either a sub-contract or a sub-agreement. This proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the Prime Offeror's proposal and enter into negotiations.

Provide specific information as follows:

- Description of the work to be performed
 - If known, the identification of the proposed sub-awardee and an explanation of why and how the sub-awardee was selected or will be selected
 - The identification of the type of award to be used (grant, contract, cost reimbursement, fixed price, etc.)
 - Whether or not the award will be competitive and, if noncompetitive, rationale to justify the absence of competition
 - A detailed cost summary
- **Consultants** - Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of the proposed consultant services must be justified and included in the Technical Proposal.

If known at time of application, the Cost Proposal must include the name of the consultant(s), primary organizational affiliation, each individual's expertise, and a breakdown of the consultant's hours, the hourly rate proposed, and any other proposed consultant costs, such as estimated travel costs and per diem rates. Provide a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime Offeror's proposal.

If consultant services are anticipated but not under contract, provide expertise required, estimate of consultant's total hours, hourly rate proposed, and any other anticipated costs, such as estimated travel costs and per diem rates. Provide documentation (past invoice) of similar work conducted by someone with similar expertise or level of experience.

- **Materials & Supplies** - Provide an itemized list of proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Include supporting documentation for the estimates. Provide a copy of your organization's purchasing policy/processes.

- **Recipient-Acquired Equipment or Facilities** - Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs as well as the basis for them and supporting documentation for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

- **Other Direct Costs** - Provide an itemized list of all other proposed direct costs such as graduate assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., tuition schedules, quotes, prior purchases, catalog price lists). In addition to stating the basis for the cost estimates, include supporting documentation where possible.

If the technical approach includes a hosted conference, workshop, dialogue, or other type of meeting, include the estimated costs of the meeting venue. Describe how the venue will be selected, by what criteria, and what will be requested in the conference package. To support cost estimates, include past venue invoices or initial quotes from likely venues. In rare instances, meals may be provided to participants and funded with grant funds if they are essential to the workshop goals and objectives; however, and to repeat, the payment of meals as part of a workshop should be the exception, not the rule. To use federal grant money, the grantee must justify the expenditure as a research necessity and the meals or refreshments must be part of a working session.

If honoraria will be offered to workshop participants, provide the unit cost and expected number of honoraria. State the basis for the cost estimate, such as experience hosting similar events with similar caliber of presenters in the past, or honoraria received by the Principal Investigator for a similar research presentation. *Government participants may not receive honoraria.*

- **Indirect Costs (i.e., F&A, Overhead, G&A, etc.)** - Describe the rates and calculation of the costs for each rate category, listing the base on which the rate is applied. If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/ agreement.**

IAW 2 CFR §200.414(f), any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to 2 CFR §200, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions.

Offeror's disclosure should be sufficient to permit a full understanding of the rate's content and how it was established. At a minimum, the submission should identify:

- All individual cost elements included in the forecast rate(s)
- Bases used to prorate indirect expenses to cost pools, if any
- How the rate(s) was calculated
- Distribution basis of the developed rate(s)
- Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs"
- The period of the Offeror's fiscal year.

Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

- **Fee/Profit** - Fee/profit is **unallowable** under grants or cooperative agreements at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

NOTE: Failure to adequately provide detailed cost data will require the FLC San Diego Grant

Officer to contact the proposing organization for the requisite information. This will result in a delay of the award. All Offerors are required to submit a thoroughly detailed cost breakdown. The FLC San Diego Grant Officer must be able to determine that all proposed costs are allocable, allowable and reasonable. A detailed budget and budget narrative will facilitate this cost analysis.

D. Full Proposal Content – Biographical Information/Curriculum Vita

Biographical information or a curriculum vita for each key participant should address the following in three (3) pages or less per person:

- List of current and most relevant past professional experience
- List of advanced degrees earned, including degree type, discipline or department, institution, and title of thesis or dissertation
- List of publications, professional activities, patents, honors, awards, and other accomplishments
- Information describing any research specifically related to the proposed project and relevant experience of investigator(s)
- Description of involvement in other research projects currently undertaken by the applicant, whether or not acting as a principal investigator.

These documents are to be combined into one PDF file and uploaded at the place indicated on Grants.gov.

4. Submission of Full Proposals via grants.gov website (www.grants.gov):

All Grant and Cooperative Agreement full proposals shall be submitted through Grants.gov using the application package template associated with this BAA. Additional documents and attachments described above should be generated and then uploaded and attached where indicated on the grants.gov website.

A. Registration Requirements for Grants.gov:

There are several one-time actions you must complete in order to submit an application through Grants.gov. These include:

1. Obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number
2. Registering with the System of Award Management (SAM)
3. Registering with the Credential Provider
4. Registering with Grants.gov.

Use the Grants.gov website to begin these processes:

- <http://www.grants.gov/web/grants/home.html>
- <http://www.grants.gov/web/grants/applicants.html>.
- <http://www.grants.gov/web/grants/applicants/grant-application-process.html>

Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called

'MPIN' are important steps in the SAM registration process. Applicants, who are not registered with SAM and Grants.gov, should allow at least 21 days for completion of these requirements. It is suggested that the process be started as soon as possible.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process shall be directed to Grants.gov at 1-800-518-4726 (1-606-545-5035 for foreign applicants) or email: support@grants.gov.

NOTE: By completing Block 17 of the SF 424 R&R, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, '[Award Administration Information](#)' entitled "Certifications" for further information.

B. Grants.gov Full Proposal Submission:

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download Application Package." In the box labeled Funding Opportunity Number, enter NPS-BAA-15-003, which is also designated as "Research Opportunity Number" on page two of this announcement. Click on the button labeled "Download Package." Follow the instructions on the Grants.gov page to complete the application download process.

It is recommended that you complete SF 424 R&R form first, which will populate data in the other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the "Help Mode" (icon with the pointer and question mark at the top of the form).

All Offerors **must** complete and submit the seven mandatory forms listed below and any applicable optional forms, e.g., SF-LLL Disclosure of Lobbying Activities, in accordance with the instructions on the forms and the additional instructions provided in this BAA (forms are included in the application package available on Grants.gov posted with this BAA):

- 1. SF-424 R&R, Application for Federal Assistance**
- 2. R&R Budget**
- 3. Budget Narrative**
- 4. SF-424B, Assurances - Nonconstruction Programs**
- 5. R&R Other Project Info**
- 6. R&R Senior/Key Personnel**
- 7. Project Abstract**

All attachments to grant applications submitted through Grants.gov must be in Adobe PDF unless otherwise specified in this announcement.

Proprietary information may be included on submitted forms, supporting documentation, and the Cost Proposal. All such information should be denoted with asterisks (***) at the beginning and end of the proprietary information; alternatively, a page with considerable proprietary information can display the statement "Proprietary Information" in its header or footer.

Statements of Work within the Technical Proposal should **NOT** include proprietary information or other restricted or protected information.

All applications must be self-contained within specified page limitations. Internet website addresses (URLs), with the exception of cost-proposal supporting documentation of Offeror policies and procedures, may not be used to provide information necessary for the review, because reviewers are under no obligation to view the Internet sites.

Certifications and Assurances:

Certification Regarding Lobbying Activities — Grant and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF-424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. Significant Dates and Times:

This announcement will remain open until **4:00 p.m. (PDT), 31 August 2016**. Proposals may be submitted at any time during this period.

6. Submission of Late Proposals: Not applicable (N/A).

7. Funding Restrictions: Award selection notification from NPS shall not be regarded as an authorization to begin performance or commit/expend funds. The Government is not obligated to provide any funding until a Government Grant Officer from NAVSUP FLC San Diego signs the respective award document. Costs incurred in advance of signed grants and cooperative agreements are solely the responsibility of the prospective grantee.

V. APPLICATION REVIEW INFORMATION:

1. Evaluation Criteria:

Award decisions will be based on a competitive selection of proposals resulting from a scientific (technical) and cost review. Evaluations will be conducted using the following evaluation criteria:

- A. Overall scientific and technical merits of the proposal, including:
 - 1) Quality, rigor, and technical merits of the proposed effort
 - 2) Feasibility and appropriateness of research design and methodology
 - 3) Potential impact of research results
 - 4) Academic publication potential of research results
- B. Potential expansion of knowledge about issues, technologies, and phenomena related to national security.
- C. Anticipated benefits of new knowledge to the general public.
- D. Potential relevance to U.S. national security, the U.S. Navy, and NPS research mission.
- E. The offering institution's capabilities, related experience, facilities, techniques or unique combinations of these, which are integral factors for achieving the proposed objectives.
- F. The qualifications, capabilities and experience of the proposed principal investigator, team leader, and/or other key personnel who are critical to achievement of the proposed objectives and must commit time and attention to ensure success of the project.
- G. Accuracy, allowability, allocability, and reasonableness of the cost proposal.
- H. Availability of funds.

2. Evaluation Panel:

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207. The cognizant NPS principal investigator and/or other technical experts drawn from Government, industry, or academe will perform the evaluation of technical proposals. Government business professionals will evaluate cost proposals. Restrictive notices notwithstanding, one or more support contractors may consult as technical subject-matter experts. Similarly, support contractors may also be utilized to evaluate cost proposals. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions. Proposal selection and award decisions are solely the responsibility of Government personnel.

3. Evaluation Timeline: This is an open-ended BAA. Applications are received and evaluated on a rolling basis at different times during the BAA period.

VI. AWARD ADMINISTRATION INFORMATION:

1. Award Notices:

Should your proposal be selected for award, the Government Technical POC (GTPOC) will notify you via email. Award selection notification from the GTPOC must not be regarded as an authorization to begin performance or commit/expend funds. Your business office will be contacted by the grant or contracting officer to negotiate the terms of your award.

The Government is not obligated to provide any funding until a Government Grant Officer from NAVSUP FLC San Diego signs the respective award document. Costs incurred in advance of signed grants and cooperative agreements are solely the responsibility of the prospective grantee.

2. Administrative and National Policy Requirements:

Any award issued as a result of this announcement is subject to the following administrative, cost and national policy requirements contained therein.

- Department of Defense Grant and Agreement Regulations (DODGARS 3210.6-R).
An electronic copy of the DODGARS may be found at:
http://www.ecfr.gov/cgi-bin/text-idx?SID=0e0e5e6aa9f5ef24897b24ba315a7bcb&mc=true&tpl=/ecfrbrowse/Title32/32CSubchapC____.tpl
- 2 CFR §200, Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards (Uniform Guidance).
http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
- Federal Acquisition Regulation (FAR) Part 31.2, Contracts with Commercial Organizations.
<http://farsite.hill.af.mil/reghtml/regs/far2afmcfars/fardfars/far/31.htm>

NOTE: Special requirements may apply to particular Federal awards after the review of applications and other information, based on the particular circumstances of the effort to be support (e.g., if human subjects were to be involved or if some situations may justify special terms on intellectual property, data sharing or security requirements).

3. Reporting:

In general, reporting requirements include quarterly interim progress reports, quarterly financial reports, final technical report, final financial report, and final patent report. Additional reports may be required based on the research conducted.

VII. AWARDING AGENCY CONTACT INFORMATION:

For contact information, see Section I. General Information, 8. [Points of Contact](#).

VIII. OTHER INFORMATION:

1. Security Classification:

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need prominently in its proposal. An unclassified final report is required in order that the general public may benefit from the research findings.

The Statement of Work in the Technical Proposal must be unclassified and must not contain Controlled Unclassified Information.

The Government does not provide access to classified material or secured facilities under grants.

2. Use of Animal and Human Subjects in Research:

If animals are to be utilized in the research effort proposed, the Offeror must complete prior to award a DOD Animal Use Protocol with supporting documentation (copies of AALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports). For assistance with submission of animal research-related documentation, contact the NPS Grants Management Specialist at baa@nps.edu.

For any research proposal involving human subjects, the Offeror shall submit prior to award:

1. Documentation of approval from an Institutional Review Board (IRB)
2. IRB-approved research protocol
3. IRB-approved informed consent form
4. Proof of completed human research training (e.g., training certificate or institutional verification of training)
5. An application for a DOD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DOD-Navy Addendum.

If an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement.

If the research is determined by the IRB to be greater than minimal risk, the Offeror shall provide the name and contact information for the independent medical monitor. This documentation shall be submitted to the NPS Institutional Review Board Administrator via the NPS Grants Management Specialist at baa@nps.edu.

3. Protection of Proprietary and Sensitive Information:

The parties acknowledge that, during performance of the grant resulting from this BAA, the recipient may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such information includes, but is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed Navy budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of NPS.

The recipient shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The recipient agrees to indoctrinate company personnel who will have access to or custody of the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to recipient personnel who do not need to know the contents thereof for the performance of the contract/agreement. Recipient personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

As set forth herein, Recipient acknowledges and agrees that third-party support contractors may access technical information submitted by Recipient. Government will ensure that the contractor employee has signed a non-disclosure agreement with its employer (on record); and, Government will ensure that the contractor employer, likewise, has a signed Organizational Conflict of Interest clause with the Government precluding exploitation of any kind of non- public data it accesses as a result of its Government contract effort(s).

4. Conflicts of Interest:

Organizational Conflicts of Interest: All Offerors, principal investigators, and proposed subcontractors shall affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any Naval Postgraduate School (NPS) school/office, or to the underlying sponsor of this research through an active contract or subcontract. All affirmations shall state which office(s) the Offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) shall be disclosed. The disclosure shall include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests shall be rejected without technical evaluation and withdrawn from further consideration for award.

Post-Employment Conflict of Interest: There are criminal laws and standards of conduct regulations that may apply to current or former Government employers/military officers who draft or assist in the drafting of grant proposals, or are named as principal investigators/alternates in grant proposals. See 18 United States Code (U.S.C. 203 - 207). These restrictions may apply to reservists on active duty, or to employees who served on a Federal Advisory Board/Council within the last 365 days, i.e. Special Government Employees. Accordingly, Offerors submitting grant proposals are required to identify any potential post employment or current conflict of interest to the Grants Officer if a Government employee or former Government employee (broadly defined above to include military members, Special Government employees or reservists) participated in proposal drafting and/or is named as a principal investigator or alternate principal investigator.

If a prospective Offeror believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict interest, the proposer shall send his/her contact information and summary of the potential conflict to baa@nps.edu **before** time and effort are expended in preparing a proposal and mitigation plan.

Be advised the Grants Officer reserves the right in his/her discretion to withhold award if he/she determines after consultation with the Offeror and Navy Legal Counsel that there is a conflict of interest or standards-of-conduct violation, whether organizational or otherwise.

5. Acknowledgement of Naval Postgraduate School (NPS) Support:

NPS' full or partial support shall be acknowledged in journal articles, books, oral and poster presentations, news releases, interviews with reporters and other communications. Any documents developed under an award agreement resulting from this BAA that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

This publication was developed under research supported by the Naval Postgraduate School No. [insert award number] awarded by the NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego). It has not been formally reviewed by NPS. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the NAVSUP FLC San Diego or NPS. The NAVSUP FLC San Diego and NPS do not endorse any products or commercial services mentioned in this publication.

6. Military Recruiting on Campus:

Military Recruiting on Campus (DODGARS Part 22.520) applies to domestic U. S. colleges and universities. Appropriate language from 32 CFR 22.520, Campus Access for Military Recruiting and Reserve Officer Training Corps (ROTC), will be incorporated in all university grant awards.

7. Intellectual Property (applies to cooperative agreements):

Offerors responding to this BAA shall submit a separate list of all technical data or computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if Offerors fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the Offeror shall state "NONE."

8. Federal Funding Accountability and Transparency Act of 2006:

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 33.110. Any company, non-profit agency or university that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or subrecipient under this BAA shall provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220.

An entity is **exempt** from this requirement **UNLESS** in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

9. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law - DOD Appropriations:

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction" found at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx> by checking the "I agree" box in block 17 and attaching the representation to block 18 of the SF-424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

(1) The applicant represents that it is _____ is not _____ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability

(2) The applicant represents that it is _____ is not _____ a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore shall provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

10. Reporting Executive Compensation and First-Tier Subcontract Awards:

The FAR clause 52.204-10, "Reporting Executive Compensation and First-Tier Subcontract Awards," will be used in all procurement contracts valued at \$25,000 or more. **A similar award term will be used in all grants and cooperative agreements.**

11. Recombinant DNA:

Proposals which call for experiments using recombinant DNA shall include documentation of compliance with Department of Human and Health Services (DHHS) recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

12. Government Property/Government Furnished Equipment (GFE) and Facilities:

Government research property, facilities and operational military units are available and shall be considered as potential government furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. An Offeror shall explain as part of its proposal which of these facilities are critical for the project's success.

13. Updates of Information Regarding Responsibility Matters:

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matter, will be included in all contracts valued at \$500,000 or more where the contractor has currently active Federal contracts and grants with a total value greater than \$10 million.

14. Representation Regarding the Prohibition on Using FY15 Funds with Entities that Require Certain Internal Confidentiality Agreements:

Agreement with the representation below shall be affirmed by checking the "I agree" box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235) and any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.